UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/750,050	12/29/2000	Masayuki Komori	1081.1100 (JDH)	6709

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EXAMINER
ELISCA, PIERRE E

ART UNIT	PAPER NUMBER
3621	

DATE MAILED: 12/22/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	09/750,050	KOMORI, MASAYUKI
	Examiner	**Art Unit**	
	Pierre E. Elisca	3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on _08 December 2004._
2a) ☐ This action is **FINAL.**   2b) ☒ This action is non-final.
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) _1-4,6-9,12-15 and 17-19_ is/are pending in the application.

    4a) Of the above claim(s) _5 and 20_ is/are withdrawn from consideration.

5) ☒ Claim(s) _10,11,16,21 and 22_ is/are allowed.
6) ☐ Claim(s) _____ is/are rejected.
7) ☐ Claim(s) _____ is/are objected to.
8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.
10) ☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

1.   This Office action is in response to Applicant's RCE filed on 12/8/2004.

2.   Claims 1-4, 6-9, 12-15, and 17-20 are pending and claims 5 and 20 are

canceled.

Allowable Subject Matter

3.   Claims 10, 11, 16, 21 and 22 are allowed over the prior art.

Claim Rejections - 35 USC § 103

4.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

5.   Claims 1-4, 6-9, 12-15, and 17-19 col 3, lines 24-41, col 7, lines 11-18, col 11,

lines 31-49) are rejected under 35 U.S.C. 103 (a) as being unpatentable over Herman et

al. (U.S. Pat. No. 6,341,353) and Houvener et al. (U.S. pat. No. 6,202,055) in view of

Chang et al. (U.S. Pat. No. 6,715,082).

As per claims 1, 6-7, 9, 12, and 17-20 Herman substantially discloses a smart electronic

receipt system/method that provides intelligent receipts, called smart receipts (which is

interpreted as Applicant's claimed invention wherein it is stated that managing transaction and issuing receipt information), comprising the steps of :

issuing an identification code that comprises receipt information and predetermined password information while a transaction is in progress, the receipt information comprising a serial (or receipt) number identifies the started transaction session and indicates the order in which a predetermined transaction with a user was received (see., abstract, specifically wherein it is stated that smart receipt provides the customer with detailed information about an online purchase in a standardized format, and the password can also be interpreted as an owner ID 726 for entering an identification code associated with the owner of the object see., col 9, lines 37-58, specifically col 6, lines 17-26, and the limitation wherein said while a transaction is in progress is also disclosed by Herman in col 6, lines 17-67, please note the password information of Herman is determined while a transaction is in progress).

It is to be noted that Herman fails to explicitly disclose the step of displaying an identification code on a terminal. Houvener discloses a display means 6 of a point of identification that displays credit approval code (or identification code) see., col 6, lines 59-67, col 7, lines 1-7. Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the smart electronic receipt of Herman by including the limitation detailed above as taught by Houvener because such modification would verify the identity of the user initiating the financial transaction and display it to the proper user.

Herman and Houvener fail to explicitly disclose the step wherein said a session identifier and security token. Chang discloses a security server token and a session identifier (see., col 3, lines 24-41, col 7, lines 11-18, col 11, lines 31-49). It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the teachings of Herman and Houvener by including the limitation detailed above as taught by Chang because such modification would verify the identity of the user using session and token identifiers.

As per claim 2, Herman discloses the claimed method of managing transaction numbers according to claim 1, wherein the network is Internet (see., Figs 1-3).

As per claim 3, Herman discloses the claimed method of managing transaction numbers according to claim 2, further comprising the step of: URL of Internet, on the terminal (see., fig 10, and the step of displaying the transaction on the user or customer terminal, col 40, lines 20-40). It is to be noted that Herman fails to explicitly disclose the step of displaying an identification code on a terminal. Houvener discloses a display means 6 of a point of identification that displays credit approval code (or identification code) see., col 6, lines 59-67, col 7, lines 1-7. Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the smart electronic receipt of Herman by including the limitation detailed above as taught by Houvener because such modification would verify the identity of the user initiating the financial transaction and display it to the proper user.

As per claim 4, Herman discloses the claimed method of managing transaction numbers according to claim 1, wherein the receipt information contains date and time (see., abstract, col 1, lines 58-67, col 2, lines 1-39, it is obvious to recognize that the receipt identification code also includes data and time in order to verify the time and date of sale. However, Houvener discloses a display means 6 of a point of identification that displays credit approval code (or identification code) see., col 6, lines 59-67, col 7, lines 1-7. Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the smart electronic receipt of Herman by including the limitation detailed above as taught by Houvener because such modification would verify the identity of the user initiating the financial transaction and display it to the proper user.

As per claim 8, Herman discloses the claimed method of managing transaction numbers according to claim 6. It is to be noted that Herman discloses the identification code is invalidated when a predetermined period of time elapses. However, Houvener discloses a display means 6 of a point of identification that displays credit approval code (or identification code) see., col 6, lines 59-67, col 7, lines 1-7, and the step of invalidating when a predetermined period of time elapses is disclosed in col 3, lines 5-42, specifically wherein it is stated that point of identification terminal to indicate that at least one of the displayed digital images matches (unmatched or invalidated) the appearance of the person initiating the transaction, it is obvious to realize that this process of

unmatched or invalidated identity requires a time interval. Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the smart electronic receipt of Herman by including the limitation detailed above as taught by Houvener because such modification would verify the identity of the user initiating the financial transaction and display it to the proper user.

As per claims 13-15, Herman substantially discloses a smart electronic receipt system/method that provides intelligent receipts, called smart receipts (which is interpreted as Applicant's claimed invention wherein it is stated that managing transaction and issuing receipt information), comprising the steps of :

an issuance unit to issue an identification code that comprising receipt information and predetermined password information, the receipt information comprising a serial (or receipt) number that indicates the order in which a predetermined transaction with a user was received (see., abstract, specifically wherein it is stated that smart receipt provides the customer with detailed information about an online purchase in a standardized format, and the password can also be interpreted as an owner ID 726 for entering an identification code associated with the owner of the object see., col 9, lines 37-58, specifically col 6, lines 17-26). It is to be noted that Herman fails to explicitly disclose the process of displaying an identification code on a terminal. Houvener discloses a display means 6 of a point of identification that displays credit approval code (or identification code) see., col 6, lines 59-67, col 7, lines 1-7. Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made

to modify the smart electronic receipt of Herman by including the limitation detailed

above as taught by Houvener because such modification would verify the identity of the

user initiating the financial transaction and display it to the proper user.

Herman and Houvener fail to explicitly disclose Applicant's newly added limitation

wherein said a session identifier and security token. Chang discloses a security server

token and a session identifier (see., col 3, lines 24-41, col 7, lines 11-18, col 11, lines

31-49). It would have been obvious to a person of ordinary skill in the art at the time the

invention was made to modify the teachings of Herman and Houvener by including the

limitation detailed above as taught by Chang because such modification would verify the

identity of the user using session and token identifiers.

REMARKS

6.   In response to Applicant's arguments filed on 11/15/2004, Applicant argues that

neither Herman nor Houvener and chang fails to anticipate or render obvious the recited

feature:

a. « a transaction session ». As indicated above, Chang discloses a security server

token and a session identifier (see., col 3, lines 24-41, col 7, lines 11-18, col 11, lines

31-49). It would have been obvious to a person of ordinary skill in the art at the time the

invention was made to modify the teachings of Herman and Houvener by including the

limitation detailed above as taught by Chang because such modification would verify the

identity of the user using session and token identifiers.

B « session identification code or session code ». Applicant should note that session

identification is readable as session code or session identifier see., Chang col 3, lines

24-41, col 7, lines 11-18, col 11, lines 31-49).

Conclusion

7.   Any inquiry concerning this communication or earlier communications from

the examiner should be directed to Pierre E. Elisca whose telephone number is 703

305-3987. The examiner can normally be reached on 6:30 to 5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, James Trammell can be reached on 703 305-9769. The fax phone number

for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free).

Pierre Eddy Elisca

Primary patent Examiner

December 20, 2004